

Investment Management Regulatory Update - October 2011

October 14, 2011 | Client Update

Industry Update

- Regulators Release Proposed Regulations Implementing the Volcker Rule
- SEC Grants No Action Relief from Pay-to-Play Recordkeeping Requirements
- SEC Plans to Consider Raising the 500 Shareholder Threshold for SEC Registration

Litigation

- SEC Charges Co-Founder of AXA Rosenberg Group, LLC with Securities Fraud for Concealing Quantitative Investment Modeling Error
- SEC Charges Former Goldman Employee and His Father in First Ever ETF Insider Trading Enforcement Action
- Hedge Fund Directors Under Scrutiny by Cayman Court

If you have any questions regarding the matters covered in this publication, please reach out to any of the lawyers listed below or your usual Davis Polk contact.

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